IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

| In re Application of: NANGALIA et al. | Examiner: Not yet assigned | |
|--|----------------------------------|--|
| Serial No.: Not yet assigned | Group Art Unit: Not yet assigned | |
| Filing Date: Filed herewith | Docket No.: G08.071 | |
| For: METHODS AND APPARATUS FOR ROUTING SECURITIES ORDERS | | |

MS PATENT APPLICATION

Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450

UTILITY PATENT APPLICATION TRANSMITTAL (Large Entity)

Sir:

Transmitted herewith for filing under 35 USC 111(a) and 37 CFR 1.53(b) is a new utility patent application for an invention entitled: **METHODS AND APPARATUS FOR ROUTING SECURITIES ORDERS**

and invented by: NANGALIA et al.

Enclosed are:

- 1. Filing Fee as calculated and transmitted as described below
- 2. Specification having <u>41</u> pages and including the following:
 - a. Descriptive Title of the Invention
 - b.

 Cross references to Related Applications (if applicable)

Attorney Docket No.: G08.071

| | | c. | | Statement Reg | garding Federally-sponsored R | lesearch/Development | |
|-----|-----------------------------|---|---|---|---|-------------------------------------|--|
| | | d. | ☐ Reference to Microfiche Appendix (if applicable) | | | | |
| | | e. | ☑ Background of the Invention | | | | |
| | | f. | | Brief Summary of the Invention | | | |
| | | g. | | Brief Description of the Drawings (if drawings filed) | | | |
| | | h. | $\overline{\mathbf{V}}$ | Detailed Desc | ription | | |
| | | i. | | Claim(s) as Classified Below | | | |
| | | j. | | Abstract of the Disclosure | | | |
| 3. | ☑ | Dra | Drawing(s) (when necessary as prescribed by 35 USC 113) | | | | |
| | | a. | \square | Formal | Number of Sheets 9 | | |
| | | b. | | Informal | Number of Sheets | | |
| 4. | \square | Oa | th o | r Declaration | | | |
| | | a. | \square | Newly execut | ed (original or copy) | ☐ Unexecuted | |
| | | b. | | Copy from a p | prior application (37 CFR 1.63 | (d)) | |
| | | c. | | With Power o | fAttorney | ☐ Without Power of Attorney | |
| | | d. | | Signed statem | OF INVENTOR(S) ent attached deleting inventor(0.63(d)(2) and 1.33(b). | (s) named in the Prior Application, | |
| 5. | | Incorporation By Reference (usable if Box 4b is checked) The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein. | | | | | |
| 6. | ☑ | Assignment Papers (cover sheet & documents(s)) | | | | | |
| 7. | | 37 CFR 3.73(B) Statement (when there is an assignee) | | | | | |
| 8. | | English Translation Document (if applicable) | | | | | |
| 9. | | Information Disclosure Statement/PTO-1449 ☐ Copies of IDS Citations | | | | | |
| 10. | | Pre | elim | inary Amendm | ent | | |
| 11. | $ \overline{\mathbf{V}} $ | Acknowledgement Postcard | | | | | |
| 12. | Ø | Ma | ilec | l Via | | | |
| | | | Firs | t Class | ☑ Express Mail (Specify Labe | l No.) EL963891285US | |
| 13. | | Certified Copy of Priority Document(s) (if foreign priority is claimed) | | | | | |
| 14. | | Request and Certification under 35 USC 122(b)(2)(B)(i) (attach PTO/SB/35) | | | | | |
| 15. | | Additional Enclosures: Credit Card Payment Form | | | | | |

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FEE CALCULATION

| For | No. Filed | No. Allowed | No. Extra | Rate | Fee |
|-----------------|------------|-------------|-----------|----------|------------|
| Total Claims | 54 | - 20 | 34 | \$ 18.00 | \$ 612.00 |
| Indep. Claims | 21 | - 3 | 18 | \$ 86.00 | \$1,548.00 |
| Multiple Depend | \$ 0.00 | | | | |
| | \$ 770.00 | | | | |
| OTHER FEE (| \$ 0.00 | | | | |
| | \$2,930.00 | | | | |

Credit Card Authorizations for \$2,930.00 and \$40.00 are enclosed.

The Commissioner is hereby authorized to charge and credit Deposit Account No. <u>50-1852</u> as described below. A duplicate copy of this sheet is enclosed.

☑ Credit any overpayment.

☑ Charge any additional fees required under 37 CFR 1.16 and 1.17.

Respectfully submitted,

December 4, 2003

Date

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